
DEPARTMENT OF THE ARMY, TULSA DISTRICT 01300.TD
U.S. ARMY CORPS OF ENGINEERS MAY 7,
1997

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TULSA DISTRICT GUIDE SPECIFICATION

SECTION 01300

SUBMITTAL PROCEDURES

1 GENERAL

1.1 SHOP DRAWINGS

1.1.1 General

Shop drawings shall conform to requirements of CONTRACT CLAUSE entitled "Specifications and Drawings for Construction." The Contractor shall submit to the Contracting Officer for approval five copies of all shop drawings as called for under the various headings of these specifications. Three sets of all shop drawings will be retained by the Contracting Officer and one set will be returned to the Contractor. Submittals shall include items such as: Contractor's, manufacturer's, or fabricator's drawings; descriptive literature including (but not limited to) catalog cuts, diagrams, operating charts or curves; test reports; test cylinders; samples; O&M manuals including parts list; certifications; warranties and other such required submittals. Submittals requiring Government approval shall be scheduled and made prior to the acquisition of the material or equipment covered thereby.

1.1.2 Review and Approval of Shop Drawings and Samples

The Contractor shall submit all items as required in the other sections of these specifications. The Contracting Officer may request submittals in addition to those specified when deemed necessary to adequately describe the work required. Units of weights and measures used on all submittals shall be the same used in the contract drawings. Each submittal shall be complete and in sufficient detail to allow ready determination of compliance with contract requirements. Prior to submittal, all items shall be checked and approved by the Contractor's Quality Control (CQC) representative and each respective transmittal shall be stamped, signed, and dated by the CQC representative certifying that the accompanying submittal complies with the contract requirements.

1.1.3 Approval Stamp

Approval by the Contractor shall be accomplished by stamping shop drawings with a stamp with information similar to the following:

<p>_____ Approved</p> <p>_____ Approved with corrections as noted on submittal data and/or attached sheets(s).</p> <p>SIGNATURE: _____</p> <p>TITLE: _____</p> <p>DATE: _____</p>

1.2 TRANSMITTAL FORM (ENG FORM 4025)

Transmittal Form (ENG Form 4025) shall be used for submitting submittals in accordance with the instructions on the reverse side of the form. (See sample Form 4025 at the end of this section) These forms will be furnished to the Contractor as needed. This form shall be properly completed by filling out all the heading blank spaces and identifying each item submitted. The specification paragraph or sheet number of the contract drawings pertinent to the data submitted shall be provided for each item. All samples of materials submitted as required by these specifications shall be properly identified and labeled for ready identification, and upon being approved, stored at the site of the work for jobsite use until all work has been completed and accepted by the Contracting Officer.

All proposed deviations requested by the Contractor shall be noted in the "Remarks" column of the ENG Form 4025. The Contractor shall set forth in writing the reason for any deviations and annotate such deviations on the shop drawing. The Government reserves the right to rescind inadvertent approval of shop drawings containing unnoted deviations.

1.3 SUBMITTAL REGISTER (ENG FORM 4288)

1.3.1 Preparation

A Submittal Register as shown at the end of this section shall list all items required by the specifications to be submitted to the Government. The list shall include shop drawings, tests, certificates, computations, and all other items specified to be submitted to the Contracting Officer except safety plans, quality control plans, environmental plans, and routine quality control tests. The listing shall give the page and paragraph number of the specifications for each item listed and the Contractor Scheduled Dates.

The technical specification sections shall be referenced for complete submittal requirements. The Contractor shall complete the form and return the completed form to the Contracting Officer for approval. The approved

Submittal Register will become the scheduling document and will be used to control submittals throughout the life of the contract. This register and the progress schedules shall be coordinated.

Submittals covering component items forming a system or items that are interrelated shall be scheduled to be coordinated and submitted concurrently. All various types of submittals for each item (i.e. data, drawings, instructions, certifications, etc.) shall be submitted concurrently. Adequate time, but not less than 30 days, shall be allowed on the Submittal Register for review and approval by the Government of all submittals. Delays, damages, or time extensions will not be allowed for time lost due to late submittals.

1.3.2 Submittal and Maintenance of Submittal Register

1.3.2.1 Initial Submittal

The Submittal Register shall be submitted within 21 days after notice to proceed.

1.3.2.2 Register Maintenance

The Contractor shall maintain the Submittal Register listing all submittals as the items are submitted. Listings shall be grouped by section number and listed in numerical sequence of the Transmittal Number shown on Form 4025. When the project is 90 percent complete, the up-to-date, typed Form shall be submitted to the Contracting Officer for review to assure that required submittals and resubmittals have been noted.

1.3.2.3 Final Submittal

Upon completion of the work the completed Submittal Register shall be submitted to the Contracting Officer.

1.4 SUBMITTAL CLASSIFICATION

Submittals are classified as follows:

1.4.1 Government Approved (GA)

Governmental approval is required for extensions of design, critical materials, deviations, equipment whose compatibility with the entire system must be checked, and other items as designated by the Contracting Officer. Within the terms of the Contract Clause entitled "Specifications and Drawings for Construction," they are considered to be "shop drawings." Upon completion of review of submittals requiring Government approval, the submittals will be identified as having received approval by being so stamped and dated. Three copies of the submittal will be retained by the Contracting Officer and one copy of the submittal will be returned to the Contractor.

1.4.2 For Information Only (FIO)

All submittals not requiring Government approval will be for information only. They are not considered to be "shop drawings" within the terms of the Contract Clause referred to above.

1.5 APPROVED SUBMITTALS

The approval of submittals by the Contracting Officer shall not be construed as a complete check, but will indicate only that the general method of construction, materials, detailing and other information are satisfactory. Approval will not relieve the Contractor of the responsibility for any error which may exist. After submittals have been approved by the Contracting Officer, no resubmittal for the purpose of substituting materials or equipment will be given consideration unless accompanied by an explanation as to why a substitution is necessary.

1.6 DISAPPROVED SUBMITTALS

The Contractor shall make all corrections required by the Contracting Officer and promptly furnish a corrected submittal in the form and number of copies as specified for the initial submittal. If the Contractor considers any correction indicated on the submittals to constitute a change to the contract, notice as required under the Contract Clause entitled "Changes" shall be given promptly to the Contracting Officer.

1.7 WITHHOLDING OF PAYMENT

Payment for materials incorporated in the work will not be made if required approvals have not been obtained.

1.8 SUBMITTAL DESCRIPTIONS

**NOTE: The SD numbers, titles, and descriptions
provided here correspond to references throughout the
technical sections and have been established by the
SPECSINTACT Construction, Control, and Coordination
Board and should not be changed.**

The submittals described below are those required and further described in other sections of the specifications. Submittals required by the CONTRACT CLAUSES and other nontechnical parts of the contract are not included.

SD-01 Data

Submittals which provide calculations, descriptions, or documentation of the work.

SD-04 Drawings

Submittals which graphically show relationship of various components of the work, schematic diagrams of systems, details of fabrication, layouts of particular elements, connections, and other relational aspects of the work.

SD-06 Instructions

Preprinted material describing installation of a product, system or material, including special notices and material safety data sheets, if any, concerning impedances, hazards, and safety precautions.

SD-07 Schedules

Tabular lists showing location, features, or other pertinent information regarding products, materials, equipment, or components to be used in the work.

SD-08 Statements

A document, required of the Contractor, or through the Contractor, from a supplier, installer, manufacturer, or other lower tier Contractor, the purpose of which is to confirm the quality or orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel, qualifications, or other verifications of quality.

SD-09 Reports

Reports of inspections or tests, including test methods used, test results, analysis and interpretation of test results.

SD-13 Certificates

Statement signed by responsible official of a manufacturer of a product, system or material, attesting that the product, system or material meets specified requirements. The statement identifies the date of the certificate, name of the project, and list of the specific requirements which are being certified.

SD-14 Samples

Samples, including both fabricated and unfabricated physical examples of materials, products, and units of work as complete units or as portions of units of work.

SD-18 Records

Documentation to record compliance with technical or administrative requirements.

SD-19 Operation and Maintenance Manuals

Data which forms a part of an operation and maintenance manual.

**USE THE FOLLOWING PARAGRAPH FOR ALL MILITARY PROJECTS
UNLESS THE REQUIREMENT IS INCLUDED IN SECTION 09915 -
COLOR SCHEDULE**

1.9 CONSTRUCTION COLOR BOARD (SWT-EC-EA, T. VERDEL)

1.9.1 Description

Contractor shall prepare in binder format a series of construction color boards which illustrate by means of physical samples the materials and finishes that are integral to the exterior and interior finishes of the completed facility. These items include, but are not limited to: masonry, architectural concrete, metal panels, siding and roofing, interior and exterior trim, paints, wall coverings, floor coverings and base, ceiling materials, plastic laminates, casework, stained woodwork, toilet partition and accessory finishes, etc. Color board samples (especially of exterior finish materials) are not required to be of full size or thickness but must represent the full range of color, texture, and finish of the materials.

Carpet samples shall not be less than 3" by 5" 75 mm by 125 mm or larger if needed to indicate complete color and design.

1.9.2 Format

Material samples shall be mounted on 8 1/2" x 11" modules with the project title and name of the installation placed in the lower right corner of each module. Sample board modules shall consist of protection (mat) boards of sufficient strength and thickness to support and anchor samples. Large or heavy samples shall be anchored with mechanical fasteners or epoxy resin cement. "Rubber cement" or other contact adhesives shall not be used. 8-1/2" x 11" 216 mm by 280 mm boards shall be three-hole punched and placed in 3-ring binders. 8-1/2" x 11" 216 mm by 280 mm boards may be securely taped together at edges to provide a "fold-out" display presentation provided overall dimensions of fold-out materials does not exceed 25-1/2" x 33". 648 mm x 838 mm. Each 3-ring binder shall be identified on its spine with the following information: project fiscal year, project title, contract number, installation name where project is to be built and date of submittal (month and year). Presentation shall be organized in a logical manner to facilitate an orderly and speedy review. Sample items and color names shall be identified with names that correspond to names shown on the project color and finish schedule. If not readily apparent from the color and finish schedule, the sample boards shall be annotated to reflect what areas or surfaces of the facility are to receive the finishes shown.

NOTE: IN THE FOLLOWING PARAGRAPH USE
75 DAYS FOR
PROJECTS WITH A CONSTRUCTION VALUE OF 5
MILLION OR
LESS AND 120 DAYS FOR PROJECTS WITH A
CONSTRUCTION
VALUE GREATER THAN 5 MILLION.¶

1.9.3 Submittal

Five complete sets of the construction color boards shall be submitted to the Contracting Officer for approval within [75] [120] calendar days after Notice to Proceed. All other technical submittals regarding finish materials depicted on these boards (test reports, certifications, manufacturer's instructions or data sheets, etc.) as required by technical portions of this project specification, shall be submitted prior to or concurrent with the construction color boards.

1.9.4 Approval

Upon receipt by the Contracting Officer of all finish material submittals (technical submittal materials and construction color boards) a 30-day review period by the Government shall be allowed. No finish work involving any item included on the color board shall be started by the Contractor prior to the approval of the total construction color boards. After receipt of final approval by the Government, the Contractor shall mark each approved item on the color board with its appropriate technical submittal transmittal number, make any corrections, additions or deletions required by the Government and return the five sets of approved construction color boards to the Contracting Officer. Any Contractor proposed substitutions of materials following approval must be approved by the Government as coordinating visually with other approved items equally as well as the originally approved item.

1.10 WIRING AND CONTROL DIAGRAMS

The Contractor shall furnish one reproducible, unfolded copy of all wiring and control diagrams and approved system layout drawings with the operating instructions called for under the various headings of these specifications for mechanical and electrical systems.

**NOTE: USE THE FOLLOWING PARAGRAPH ALL PROJECTS WHICH
HAVE HVAC EQUIPMENT.**

1.11 EMCS, MECHANICAL EQUIPMENT, AND TEMPERATURE CONTROL SUBMITTAL COORDINATION

1.11.1 General

Submittals for temperature controls and mechanical equipment as specified in Division 15 and/or energy management control systems (EMCS) as specified in Division 13 shall be submitted in accordance with the procedure outlined below.

1.11.2 Procedure

Submittals shall be submitted as Groups with each group to include items scheduled below. All items in Group 3 shall be submitted together at the same time. All items in each group shall be submitted prior to submittal of any item in a subsequent package.

1.11.3 Approval

Items to be submitted which are required to receive Government Approval (GA) as specified in the specifications shall be approved prior to the submittal of any item in a subsequent group.

1.11.4 Group Descriptions

Submittals included in each group shall be for items listed in the following schedule:

GROUP 1

Control Valves Control Dampers Temperature control piping and other control\EMCS rough-in hardware VAV controllers (when not specified as a part of the VAV boxes)

GROUP 2

Mechanical equipment operated or associated with temperature controls and/or EMCS.

GROUP 3

Temperature controls and EMCS items including the following:

point-to-point wiring diagrams bills of materials sequences of operation (with reference to I/O summary for EMCS) hardware data

sheets EMCS I/OS summaries, system schematics, installation details, and legend

Temperature controls shall be transmitted separate from the EMCS items.

1.11.5 Dual Function Items

Items which serve for both the temperature control systems and the EMCS system shall be submitted (and approved if GA) in accordance with the temperature control requirements. However, the appropriate corresponding EMCS information shall also be submitted for information only (FIO). This information shall be listed separately as "Supplemental Reference" on the Transmittal Form.

2 PRODUCTS (NOT APPLICABLE)

3 EXECUTION (NOT APPLICABLE)

--End of Section--